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The Electronic Federal Depository Library Program: Transition Plan, FY 1996 - FY 1998

This special issue of Administrative Notes transmits The Electronic Federal Depository Library Program: Transition Plan, FY 1996 - FY 1998, which has been prepared to support the fiscal year 1997 requests for the Superintendent of Documents Salaries and Expenses Appropriation. This plan and proposed amendments to Chapter 19 of Title 44, U.S. Code, incorporated in the plan, were included in our budget submission in response to Section 210 of Public Law 104-53.

This plan is one of the first outcomes of the discussions which have occurred during the Government Printing Office's (GPO) Study to Identify Measures Necessary for a Successful Transition to a More Electronic FDLP. We hope that this "tactical" plan will stimulate additional discussion which will assist the Working Group in completing the study report and the longer-range "strategic" plan called for pursuant to Senate Report 104-114. A copy of this plan has been distributed to all Working Group and Advisory Group members.

A key assumption of the transition plan is that nearly all of the information provided through the Federal Depository Library Program (FDLP) will be electronic by the end of fiscal year 1998. Information which has been distributed to depository libraries in paper and microfiche formats will be available instead via remote electronic access or will be disseminated in a physical electronic format for local access at a depository library. The shift will occur through a transition as Federal agencies in all three branches of Government increasingly originate and publish their information electronically. In addition, during the transition period, we intend to convert publications received in paper to an electronic format for availability through the GPO Access services.

In the partnership that will comprise an electronic FDLP, both the depository libraries and the Superintendent of Documents will be significantly impacted in terms of new resource requirements, roles, and responsibilities. Many depository libraries will have to accelerate their plans to obtain public access work stations, and deal with the demand for local printing and downloading. They will have to balance the needs to provide users with assistance in using electronic access services while at the same time providing access to the historical Government information contained in their pre-electronic documents collections.

In an electronic environment, the responsibility for ensuring long-term access to electronic information will shift from the depository libraries to the Superintendent of Documents. Connections to electronic access services operated under the authority of the

Superintendent of Documents replace the geographically-dispersed collections of books and microfiche.

The plan is based on our understanding of Congressional intent and direction, technological developments, and operational and budgetary realities. The plan details basic Assumptions and policies and outlines actions necessary to accomplish the rapid transition to an electronic FDLP.

We are very interested in your comments on this transition plan, particularly with respect to two general areas:

- the impact of this transition on the users of Government information, on libraries in general, and specifically on depository libraries;
- the role of the agencies and GPO's relationship with, and services, to them.

Any comments on the plan may be directed to Mr. J.D. Young, Director of the Library Programs Service at (202) 512-1114, facsimile (202) 512-1432, or by e-mail at <direclps@access.digex.net>. We value your contribution to this effort, and look forward to your continued participation in the Program.

The Electronic Federal Depository Library Program:

Transition Plan, FY 1996 - FY 1998

U.S. Government Printing Office
Superintendent of Documents
Library Programs Service

December 14, 1995

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Basic Assumptions for the Transition to an Electronic FDLP

1. Based on our direction from Congress, we expect that nearly all of the information provided through the Federal Depository Library Program (FDLP) will be electronic by the end of fiscal year 1998.
2. Typically, the information provided through the FDLP will be electronic, with the exception of a few select titles which must be available in paper as well as electronically.
3. The costs of the transition to the electronic FDLP will be funded by reducing the distribution of paper and microfiche.
4. In an electronic FDLP, the responsibility for ensuring long-term access shifts from the depository libraries to the Superintendent of Documents (SOD). In the electronic FDLP, connections to electronic access services operated under the authority of the SOD replace the geographically-dispersed collections of books and microfiche.

This implies new and different tasks and expenses. To provide long-term access to data, SOD assumes such costs as data preparation for mounting, maintenance, storage, and ongoing costs to minimize deterioration and assure technological currency.

5. The GPO Access services (on-line service, storage facility, locator service, and bulletin board) will be the foundation for providing electronic access to Federal information for the FDLP.
6. Direct, no-fee access to Government information will be provided to the public by the GPO Access services as a function of the FDLP, and be funded by the Program.
7. SOD will coordinate with other agencies for depository library access to their electronic data. In the case of some agency databases which must be sold to be self-sustaining, the FDLP may not necessarily provide for direct, no-charge public access. However, depository libraries will be able to provide public access to these databases, either on-site, or by connecting through a gateway.
8. Some depositories need assistance in order to serve the public in an electronic FDLP environment. SOD will request funding for "technology grants" sufficient to assure at least one electronically-capable depository in each Congressional district.
9. Priority in this transition will be given to electronic access to materials already in the FDLP, with highest priority on high-demand titles. Current electronic information not presently in the FDLP will be given the next priority, with retrospective data receiving the lowest priority.
10. This transition will require certain legislative changes.
11. Accomplishing this transition by the end of FY 1998 will require funding of the Superintendent of Documents Salaries and Expenses Appropriation at approximately the FY 1996 level.

Superintendent of Documents

Policy Statement

Effective Date _____ No. _____

SUPERSEDES

No. 13

Dated: 8/21/81

Subject: Electronic Information Access and Dissemination Services of the Federal Depository Library Program (FDLP).

I. Policy.

The FDLP will rapidly shift to a more electronically based program. In this regard, Federal information which has been provided to depository libraries in paper and microfiche formats will be available instead via remote electronic access or will be disseminated in a physical electronic format for local access at a depository library. This shift will occur through a transition as Federal agencies in all three branches of Government increasingly originate and publish their information electronically. Also, information provided to the Superintendent of Documents (SOD) in a non-electronic format may be converted to achieve cost-effective access that is appropriate to both the type of information and the needs of users. Access to electronic information will be available through the FDLP at no charge to depository libraries or to the public. However, depository libraries will be responsible for the startup and maintenance costs associated with equipment and Internet connectivity required to provide access to information in electronic formats.

Electronic information under the custody of the SOD will be maintained for access as long as usage warrants. SOD will seek to improve access to information in electronic formats by defining a life cycle beginning with the original document as an electronic file and ending with archiving in appropriate formats. SOD will coordinate with the National Archives and Records Administration (NARA) to offer electronic information which no longer warrants maintaining at SOD sites for the FDLP to NARA. However, transfer to NARA for permanent preservation is the legal responsibility of the originating agency.

The SOD and depository libraries must remain current as technologies evolve in order to continue to provide greatest access to Federal information for the public.

This policy is in accordance with the intent of Congress as expressed in The Legislative Branch Appropriations Act of 1996 (Senate Report 104-114, House Report 104-141, and House Report 104-212) and with the information dissemination objectives codified in Title 44, U.S. Code. Additionally, the Office of Management and Budget in OMB Circular A-130, paragraph 8 (6) (h) encourages agencies to "provide electronic information dissemination products to the Government Printing Office for distribution to depository libraries."

II. Scope.

This policy pertains to all U.S. Government electronic information products and services, except for those required for official or administrative use only, or those which are classified. It pertains to all libraries designated as Federal depositories under Title 44, U.S.C.

III. Application.

- A. SOD will work with Federal agencies to assure that electronic information encompassed in the scope of this policy is available to the public through the FDLP.

Generally, Federal electronic information will be available through the FDLP in the following modes:

1. Via physical copies of electronic products disseminated to depository libraries. These products will include CD-ROMs and diskettes.
 2. Via Internet or dial-up connections to sites operated under the authority of the SOD or another Federal agency.
 - a. Sites may include those with selective housing arrangements operated under the authority of the SOD, as well as non-government sites acting as agents of other Federal agencies.
 - b. Access at SOD sites to will be provided in the most cost-effective manner based on the level of usage of the information.
 3. Via "Gateway Libraries," which provide off-site access to electronic information at SOD and other Federal sites at no charge through depository library computer systems or those of partner networks in their areas.
- B. SOD will provide capabilities to assist depository libraries and the public in locating and using electronic information available at sites operated by another Federal agency or its agent.

SOD will provide for long-term access to electronic information at sites under its authority and will establish processes that minimize deterioration and assure technological currency.

1. When a Federal agency charges for its electronic services, every effort will be made to establish an arrangement whereby access will be provided at no charge to depository libraries.
2. When a Federal agency publishes via the Internet and provides public access at no charge, information encompassed under the scope of this policy will be identified and made available through SOD Pathway services, which will

describe, and dynamically link users to the information. Pathway services will be developed using open systems standards and will be compatible with the Government Information Locator Service (GILS).

3. When it is determined that an agency no longer intends to provide access at its site, SOD will coordinate with the agency to acquire the information and take steps necessary to make it available for long term access through the FDLP.

C. Depository libraries are expected to:

1. Provide no-fee public access to information identified in SOD Pathway services as well as to information made available directly through the FDLP.
2. Offer users access to work stations with a graphical user interface, CD-ROM capability, Internet connections, and the ability to access, download, and print extensive documents. These capabilities are in accordance with the revised "Recommended Minimum Technical Guidelines" published in the January 15, 1995 issue of Administrative Notes. These or updated capabilities will become requirements for all depository libraries in 1996.

D. The Director, Library Programs Service, is responsible for implementing the policies and applications described above.

E. Exceptions to this policy must be authorized by the Director, Library Programs Service or his/her authorized designee.

References.

Senate Report 104-114, 104th Congress

House Report 104-141, 104th Congress

House Report 104-212, 104th Congress

OMB Circular A-130

P.L. 104-13, Paperwork Reduction Act of 1995

Administrative Notes, January 15, 1995

Administrative Notes, February 15, 1995

Transition Plan for the Electronic Federal Depository Library Program

Overview

This plan, which is based on the Superintendent of Documents Policy Statement, Subject: Electronic Information Access and Dissemination Services of the Federal Depository Library Program (FDLP), is intended to achieve the goal of changing the FDLP to a predominantly electronic program by the end of FY 1998. This plan addresses significant changes for the Government Printing Office (GPO). The transition also entails significant changes for the nation's nearly 1,400 depository libraries.

During this transition the FDLP, which is managed by the Library Programs Service (LPS) in the Office of the Superintendent of Documents (SOD), will move rapidly to an electronic service environment, in which official Government information is accessible to the public directly or through depository libraries from on-line¹ services operated under authority of the SOD. Electronic information will be accessible at SOD sites, from other Government agencies, or from institutions acting as agents for the Government. Some information will be distributed as tangible electronic products, such as CD-ROMs or diskettes.

This electronic FDLP model replaces the geographically-dispersed collections of books and microfiche with connections to a number of on-line electronic services operated under authority of the SOD. The responsibility for ensuring long-term access shifts from the libraries to the SOD. This change will bring a new mix of tasks and expenses for GPO. To provide long-term access to data in SOD facilities, the SOD assumes such costs as data preparation for mounting, maintenance, storage, and ongoing costs to minimize deterioration and assure technological currency. The SOD will work with the National Archives and Records Administration (NARA) to ensure that electronic information which no longer has sufficient usage to warrant maintaining it at a SOD site for the FDLP is permanently preserved.

Other expenses, especially those associated with acquiring and shipping physical printed products, will decline. LPS anticipates off-setting cost savings in such areas as postage and shipping costs, printing of depository copies, microfiche contracts, and space charges.

To effectively accomplish this transition by the end of FY 1998, technical implementation assistance is required. A statement of work for contractor support in FY 1996 has been developed and is included with this plan.

¹ "On-line," in this plan, is used in the generic sense of information accessible electronically over the Internet, or any successor network, without regard for the storage media which holds the data, or the searching mechanisms employed to access it.

Information Formats in the Electronic FDLP

Depository information will be available in two basic types: that which is accessible on computer from an SOD or agency site, and that which is disseminated in a physical format. For the overall program, electronic access will replace physical dissemination. Information provided through the FDLP will consist of the following:

- Access Services:

- on-line electronic information, from SOD or agency sites, delivered to the user via computer. Self-service on-line information will also be available directly to the public at no charge.

- Dissemination of Physical Products:

- CD-ROMs or other electronic deliverables which, when used at local sites, provide information to the user via computer.
- print information in microfiche format, replicated by LPS when the originating agency supplies microfiche masters;
- print information in paper format for the select group of core titles which are essential to informing the public about the activities of the Government.

In virtually every case, no-charge public use of these physical products will be at or through depository libraries. Should members of the public wish to obtain their own copies they must purchase them as they do at the present.

Role of the GPO Access Service

The GPO Access service, with its components of the on-line interactive service, the storage facility, the locator services, and the bulletin board, is the foundation which will support the transition from product dissemination to electronic access. A set of general information processing and system requirements has been developed and is included with this plan.

Managing the Transition: Existing Materials

During the transition to a more electronic FDLP, LPS' focus will be on providing electronic access to material which is already in the Program in paper or microfiche. Highest priority will be providing high-demand information electronically. Current electronic information not presently in the FDLP will be given the next priority, with retrospective data receiving the lowest priority.

In compliance with the administrative provisions contained in Section 210 of House Report 104-212, LPS will process and make available information received in the various formats as follows:

- Electronic Receipts

- when agencies produce CD-ROMs (or other electronic deliverables) through GPO, LPS will ride for depository copies and ship them to the selecting libraries.
- when agencies provide LPS with an electronic source data file, it will be prepared for mounting, loaded to a SOD facility, and made available via the Internet.

- Paper Receipts

- a limited set of core titles, deemed to be essential to an informed electorate, will be available through and funded by the FDLP as long as the originating agency publishes in paper.
- if for other paper titles the originating agency requires distribution in paper, that agency must bear the cost of printing and reproduction of the depository copies.
- other individual paper titles, including many of those previously converted to microfiche, will be converted to an SOD-specified format for electronic access via the Internet.
- publications issued in series or as periodicals will be identified and the originating agency will be contacted to obtain equivalent electronic files. However, an electronic version will not replace the paper until LPS is able to obtain a dependable, on-going flow of equivalent electronic source data files from the originating agency.

- Microfiche

- when agencies supply LPS with master microfiche, the master will be replicated and copies distributed to depository libraries.
- publications issued in series or as periodicals will be identified and the originating agency will be contacted to obtain equivalent electronic files. However, an electronic version will not replace the microfiche until LPS is able to obtain a dependable, on-going flow of equivalent electronic source data files from the originating agency.

- Maps

- due to the unique physical and information characteristics of maps and charts, LPS will make cartographic products available to depositories in the format in which they were issued by the originating agencies. LPS will contact the originating agency to identify an on-line electronic source for this information to which we can point depository users.

Managing the Transition: Information Not Previously in the FDLP

The FDLP is not funded to obtain retrospective files of information not previously in the Program, regardless of the format of that information. When Government information not previously available through the FDLP becomes available, LPS' approach will be to begin with current information and move forward. Access to retrospective electronic information will be a low priority for the FDLP unless depository access can be arranged by pointing to an agency electronic resource, such as a Web site.

SOD expects to encounter opportunities to coordinate with other agencies for depository library access to their on-line data. We will propose that these agencies provide unrestricted, no-fee access for depository libraries. However, when no such agreement can be reached, SOD may, funds permitting, reimburse the originating agency for depository access to their on-line service. In such scenarios SOD will not be funding direct, no-charge public access, although depositories may serve the public via gateways, if permitted under the agreement with the agency.

The Office of Electronic Information Dissemination Services (EIDS), in coordination with LPS, will have primary responsibility for obtaining new material in electronic formats for the FDLP. GPO will maintain mechanisms to charge agencies for making their electronic information available on GPO Access, if that information does not meet the criteria expressed in this transition plan.

Eliminating Duplication

The transition to an electronic FDLP is planned to occur without major increases in appropriations. The funding source for the transition to electronics will be the cost savings which accrue to SOD from phasing out paper or microfiche versions of information which is available through the FDLP electronically. Redundant dissemination of content in different formats; e.g. paper and microfiche, or microfiche and electronic, or CD-ROM and on-line, will be eliminated due to the limited availability of funds. Once the transition to an electronic FDLP is complete, only the "core" paper titles will represent potential duplicate distribution, as their content may also be available electronically.

Cost savings in the FDLP will support no-charge use of the GPO Access services for depository libraries and the general public. FDLP costs will shift from printing, microfiche conversion and reproduction, and shipping and handling to other costs and work associated with administering an electronic information access activity.

Legal Changes Which Support the Transition

The Depository Library Program is rapidly shifting to an electronically based program. Government information which has been provided to depository libraries in paper and microfiche formats will be available instead via remote electronic access or will be disseminated in a physical electronic format for local access at a depository library. To effectively accomplish this transition by FY 1998 and assure the long term accessibility of

Government information falling under the purview of Chapter 19 (Depository Library Program), Title 44, United States Code, this Chapter should be amended to add the following new provisions:

New Section (1917). Components of the Government publishing information dissemination products falling under the purview of Section 1902 of this Chapter shall provide the Superintendent of Documents with electronic source data files of those products at the time of publication.

New Section (1918). Publishing components shall notify the Superintendent of Documents at such time as they initiate, substantially modify, or terminate an electronic information dissemination product or service.

New Section (1919). Publishing components shall notify the Superintendent of Documents of their intent to initiate an electronic information dissemination product or service. Those components shall further authorize the Superintendent of Documents to either obtain, on an incremental cost basis, copies of such products which are produced or procured elsewhere than through the Government Printing Office; or, establish an agreement with the Superintendent of Documents whereby the Superintendent of Documents will reimburse the publishing component the incremental costs associated with depository library usage of the information service.

New Section (1920). The Public Printer will issue guidelines for components of the Government to implement Sections 1917, 1918, and 1919 of this chapter. Components that fail to comply with these guidelines and Sections 1917, 1918, and 1919 of this chapter shall bear the full cost of producing copies of products necessary for depository libraries as may be required pursuant to the provisions of this chapter and will provide such copies to the Superintendent of Documents for distribution.

New Section (1921). Definitions.

As used in this chapter--

(1) The term "publishing component" means an agency of the Federal Government which makes its information dissemination products or services available for public use or access.

(2) The term "information dissemination product" means a Government publication as defined in Section 1901 of this Chapter, including any book, paper, map, machine-readable data recorded on a physical substrate, audiovisual production, or other documentary material, regardless of other characteristics.

(3) The term "information dissemination service" means any information which falls under the purview of Section 1902 of this Chapter which is available to the public electronically from a Federal computer facility or site.

(4) The term "electronic source data files" means the digital information used to produce a Government information dissemination product, as defined in this Section.

(5) The term "on-line public access" means that information is made accessible electronically over the Internet, or any successor network, without regard for the storage media which holds the data, or the searching mechanisms employed to access it.

Future of the In-House Distribution Operation

As the distribution of physical items declines, LPS will reach the point where it is no longer cost-effective to maintain an in-house distribution capability. The current LPS distribution system, using the Lighted Bin System, relies upon economies of scale for cost-effectiveness. SOD will carefully analyze the costs of Lighted Bin System maintenance, distribution staffing, space requirements, overhead, etc., to determine the break-even point. Once that point is identified and reached, LPS will discontinue the in-house distribution operation, and move entirely to contractual shipping arrangements for the few remaining physical items in the FDLDP.

Needed personnel will be retrained for new roles in the electronic FDLDP. During the transition period, positions which become vacant through attrition will generally remain unfilled. If determined to be critical, a vacancy will be filled through a temporary appointment.

Strengthening the Depository Library System

GPO will take the initiative to reshape its relationship with depository libraries and librarians in order to strengthen the depository library system and to advance the goal of better serving the public.

In an increasingly electronic environment, GPO intends to take an expanded role in the provision of support services for depository libraries and librarians. These system support services will better prepare depositories to serve as intermediaries providing direct services to end users. Expanded services to libraries include, but are not limited to, locator services, user support, training, and documentation. The SOD will provide training and user support for depository libraries for the GPO Access services. In those cases where we point to electronic services provided by another agency we will seek arrangements with the originating agency to provide user support for depository libraries.

Depository Library Service Expectations

The planned rapid transition to an electronic FDLDP will pose a significant challenge to depository libraries. Some depository libraries will have to accelerate their plans to obtain public access computer work stations, and deal with the demand for local printing and downloading. Depository librarians will do their best to balance the needs to serve the computer have-nots in our society, while preserving and providing access to the historical Government information contained in their pre-electronic documents collections.

Depository libraries are expected to provide access to electronic information identified in SOD Pathway services as well as information made available directly through the FDL P at no charge to the public. Fulfilling this expectation requires depository libraries to offer users access to work stations with a graphical user interface, CD-ROM capability, Internet connections, and the ability to access, download, and print extensive documents. However, depository libraries may charge users to recover the cost of printing information accessed electronically.

These electronic capabilities are in accordance with the revised "Recommended Minimum Technical Guidelines" published in the January 15, 1995 issue of the Administrative Notes newsletter. Following the advice of the Depository Library Council to the Public Printer, these or updated capabilities will become requirements for all depository libraries in 1996. Depository libraries are responsible for the startup and maintenance costs associated with equipment and Internet connectivity required to provide access to Federal Government information in electronic formats.

Technology Grants

It is clear that some depositories lack the resources to acquire the requisite computer or telecommunications resources necessary to adequately serve the public in the electronic FDL P. Based on a preliminary analysis of the responses to the 1995 Biennial Survey of depository libraries, 25% of the depositories do not have public access work stations connected to the Internet. Many of these libraries are planning to offer public Internet access within two years, but over 12% (164 of 1,347 responding libraries) have no plans to provide Internet access to the public. The lack of public Internet access in depository libraries is a critical missing "last mile" in making Government information available electronically.

GPO intends to expend up to \$500,000 in FY 1997 for "technology grants" to depository libraries. The technology grants are intended to ensure reasonable public access and proximity to at least one electronically-capable depository in every Congressional district². These grants, at up to \$25,000 each, are to be used for public access work stations and Internet connections in depository libraries. This one-time financial assistance will enable libraries to achieve a minimum level of capability to serve the public with on-line electronic Government information. In order to be eligible for a technology grant, the depository library must demonstrate need and stipulate that no other funding source is available for this purpose.

Training Efforts and Regional Librarians' Conference

SOD intends to devote additional resources to promoting training and continuing education opportunities for depository librarians, to raise the level of knowledge and skills with electronic information resources. This approach will guide the development of future

² Based on preliminary returns from the 1995 Biennial Survey of depositories, LPS estimates that there are 11 Congressional districts in which no existing depository offers public Internet access. In addition, there are 22 other Congressional districts in which there is no depository library.

"Federal Depository Conferences" as we will provide hands-on training in the use of the GPO Access on-line services, and facilitate training on other agencies' systems.

GPO will take a leadership role in arranging workshops to inform agencies about issues and concerns in developing Government information products and services suitable for use by the depository libraries and the general public.

There is potential for leadership growth among the 53 regional depository libraries. Closer cultivation and coordination with the regional depository libraries and their directors should lead to a greater ability to rely upon the regional librarians as field coordinators for the FDLP. To this end, GPO is requesting that the statutory limitation on S&E travel be raised by \$20,000 to \$150,000 in FY 1997. We propose to bring the regional librarians together for a one-time conference, at SOD expense, for training, discussion of state planning initiatives, and a clarification of the regionals' role in the administration of the technology grants.

New Focus for the Inspection Program

The depository library inspection program will be redesigned, so that the resources devoted to periodic inspections can be reallocated to FDLP system support and services to depository libraries. Over the last eight years, 95% of the depository libraries inspected have been found in compliance with the requirements of the FDLP. Now that the depository library self-study has been adopted as an evaluation tool for use by the libraries, LPS intends that the basis for inspections will be that specified in 44 U.S.C. 1909, which states that "the Superintendent of Documents shall make firsthand investigation of conditions [in depository libraries] *for which need is indicated ...*" (emphasis added).

LPS will concentrate on site compliance inspections of those libraries which submit unsatisfactory self-studies, have major changes in staffing or facilities, have prior records of non-compliance, or if complaints are received from the public concerning depository library services. The LPS Depository Services Staff (DSS) will also be available to visit, consult with, and assist a depository library upon request. This change will permit the DSS resources to be reallocated to providing assistance to libraries during the transition to a more electronic FDLP.

Promoting GPO Access to Public Libraries

In an electronic environment, the FDLP will no longer be an exclusive source of free Government information to libraries. Other incentives to increase library participation need to be identified and explored. As previously indicated, LPS is planning an expanded program of training and other assistance to depository librarians, and technology grants to assist depository libraries. Another approach is to promote the FDLP electronic services to libraries which already have service to the public as their primary mission. In an electronic environment, the incremental cost of serving additional libraries or members of the public is minimal. LPS proposes a program of outreach to public libraries, in order to encourage them to become adjunct public service outlets for electronic Government information. This

expansion could be accomplished at low cost, while significantly expanding GPO's ability to serve the public. To facilitate this outreach, LPS will attend and make demonstrations and presentations to the Public Library Association (PLA) conferences. Additionally, we will expand our outreach to state library associations.

Cataloging and Indexing Program

The GPO cataloging program will also change significantly. We will continue to catalog information that we hold, whether in a physical format or an electronic file in a SOD facility. Our Pathway service will index and point users to the content of other Government information resources on the Internet. We will also use, and when appropriate, create, Pathway GILS records designed to assist FDLP users.

Locator Services, including Pathway services, GILS, and the Web Monthly Catalog data application are critical to locating desired information in an on-line environment. The Cataloging and Indexing Program, which has a broad legal mandate under Sections 1710 and 1711 of Title 44, U.S.C., will not decline precipitously with the near elimination of tangible products from the FDLP. As long as the originating agencies publish tangible products, LPS is required to catalog them, even though they may no longer be included in the FDLP. Although the volume of cataloging work may decline as agencies cut back on their paper publications, the complexity and importance of cataloging services at the SOD electronic sites will increase.

GPO, in cooperation with the other cataloging agencies, will attempt to consistently utilize existing mechanisms for including in cataloging records information identifying Government publications available at Internet/World Wide Web sites. As Government publications are discontinued in paper and microfiche format and replaced with electronic versions, library patrons are asking for electronic versions of government documents. For depository libraries to be able to continue to provide access to these publications, it is imperative that electronic location and access information be included in cataloging records so that locations are readily known.

The cataloging of electronic resources is a major topic of discussion among national cataloging standards organizations. Through its participation in cooperative cataloging efforts, GPO will work with other institutions to implement a consistent methodology to provide the necessary linking information for titles converted from paper or microfiche to an electronic format. Ideally, such linkages will direct users forward to the new electronic edition and backwards to the paper/fiche.

GPO's Superintendent of Documents classification system is another major element of the Cataloging and Indexing Program. By assigning these unique identifiers to physical items, GPO has enabled libraries to shelve and provide access to their physical collections. However, such requirements are no longer valid when working with intangible electronic data. GPO expects that the application of the classification system will be substantially reduced as the number of physical products in the FDLP declines. The "locating" function of the traditional classification system will be replaced by including the URL (Uniform Resource Locator) data element in our records.

Transition Chronology

In general, the transition to the electronic FDLP will entail the following activities:

For the remainder of FY 1996, LPS will concentrate transition activities on materials under our control. We will:

- Begin elimination of duplication by offering only an electronic format except for core paper titles.
- Develop initial standards for the format(s) of data to be mounted on the GPO Access service.
- Obtain contractual technical implementation assistance to accomplish the transition.
- Establish one or more contracts to scan monographs which would have been distributed in paper or microfiche.
- Encourage agencies to provide SOD with electronic source files, particularly for serials or series publications.
- Develop guidelines for technology grants.
- Inform the depository library community about the transition plan.

In FY 1997, assuming that the law has been changed to require agencies to provide electronic source files, we will:

- Continue scanning monographs until source files begin coming to us.
- Concentrate on obtaining source files for serials/series titles.
- Begin to phase out scanning.
- Initiate the "needs-based" technology grants to depositories.

By the end of FY 1998, most FDLP information should be received from the originating agencies as electronic source files. SOD plans to terminate the technology grants effort.

FDLP System Requirements for Electronic Access

General Requirements

Electronic information for the FDLP will be prepared for inclusion in the GPO Access service in two basic ways: scanning print format products, and from agency-supplied electronic source data files.

SOD requires the capability to scan/accept scanned information and mount it on our system. This will pertain primarily to monographs which would have been distributed in paper or microfiche format. Serial or series publications will be maintained in their present format until a dependable, ongoing supply of electronic source files is assured. Scanning will be a short-term, transitional requirement assuming that the law is changed beginning in FY 1997 to require agencies to provide SOD with their electronic source files. However, even during the transition period, the SOD scanning requirements could be extensive. LPS estimates that, beginning in FY 1996, and continuing through FY 1997, from 25,000 up to 40,000 titles (potentially 3 to 4 million pages) will need to be scanned and mounted on the system.

When agencies supply electronic files in a variety of formats, we require the capability to accept the various file formats, and to take whatever steps are necessary to mount them on our system. In order to gain the widest cooperation from agencies, we anticipate accepting data in whatever file format the agency offers.

As an incentive for agencies to provide their data, SOD will not dictate a file format to the agencies. However, based on a preliminary analysis, standard data formats for the GPO Access services are expected, in the near term, to be ASCII and Adobe PDF (Portable Document Format). In order to fully implement the use of the Open Text (GPO Access Phase II) software, SGML formatted files are required.

System Requirements

For FDLP information accessed electronically the system **must**:

- be capable of linking multiple users to multiple sites. Since FDLP users include depository libraries and the public at large, the system should have sufficient capacity to support an expanding base of users connecting via Internet, telnet, or modem. Because of resource limitations on our system, users who connect by telnet or modem will be able to use the SOD sites, and will be provided with information to enable them to connect to those sites.
- as long as technologically current, our primary focus will be on the GPO World Wide Web site as the point of entry, or front end, for all of the electronic services of the FDLP.
- support a full range of users; i.e., both depository librarians and the general public, including persons who have less than state-of-the-art computer resources. The system

must employ appropriate technologies, such as SWAIS, to comply with the Americans with Disabilities Act.

- support Pathway services, which will utilize Web indexer technology to assist users in locating and connecting to Government information on the Internet.
- provide daily database updates and indexing, including a means to let users know what is new on the system.
- provide the means to authenticate that Government information delivered from SOD sites is official.
- be in full compliance with ANSI Z39.50. Developing a client/server system will facilitate multiple standard user interfaces and reduce the burden on users to learn numerous different interfaces. The use of applications which require customized or non-standard clients should be minimized.
- to the greatest extent practical, offer full-text searching of the electronic files offered on GPO Access. However, for publications which are highly graphics intensive, it is sufficient to provide nonsearchable image files.
- have a system design which minimizes life-cycle costs to the SOD, with consideration of the cost implications for libraries and end users.
- have the capability and flexibility to support, in the most cost-effective manner, information of high, medium, and low-level usage.

In addition, there is a potential requirement to establish, at an SOD facility, on-line or "near line" access to CD-ROMs which have been, or could be, physically distributed through the FDLDP. Before defining applications or candidate CD-ROM products for such a service, we need to identify, investigate and test appropriate technologies, and to explore the costs and benefits of alternative delivery mechanisms.

Paper Titles in the FDLP: Core List

It has become clear in planning for the transition to a more electronic FDLP that there is a core group of publications which must remain in paper. There are significant socioeconomic and technical impediments to a broad-based public ability to effectively access electronic information. There are other important considerations as well, such as the "official" nature of the information, and issues of long-term access and preservation.

The following titles contain information which is vital to the democratic process; information critical to an informed electorate. They support the public's right to know about the activities of their government. Maintaining these titles in paper format, whether or not they may be available electronically, is essential to the purpose of the FDLP. GPO will request funding to continue providing these titles to depository libraries in paper format as long as they are published in paper.

I. LEGISLATIVE BRANCH

United States Congress, Joint Committee on Printing

- Congressional Directory
- Congressional Record, final bound edition
- United States Congressional Serial Set, bound edition

(based on the recommendation of the 1994 Serial Set Study Group, and the FDLP study task team, distribution will be limited to regional depositories, plus one depository in each state without a regional)

United States Congress, Joint Economic Committee

- Economic Indicators

Law Revision Counsel of the House of Representatives

- United State Code

II. JUDICIAL BRANCH

United States Supreme Court

- United States Reports

III. EXECUTIVE BRANCH

President of the United States

- Economic Report of the President

Office of Federal Register

- Code of Federal Regulations
- Federal Register
- List of Sections Affected (CFR)
- Public Papers of the President
- Statutes at Large
- U.S. Government Manual

Census Bureau, Dept. of Commerce

- Congressional District Atlas
- County and City Data Book
- State & Metropolitan Area Data Book
- Statistical Abstract of the U.S.

National Center for Health Statistics,
Dept. of Health and Human Services

- Vital Statistics of the U.S.

Dept. of State

- American Foreign Policy--Current Documents
- Foreign Relations of the U.S
- Treaties and Other International Acts of the United States
- Treaties in Force

Office of Management and Budget

- Budget of the United States Government
- Catalog of Federal Domestic Assistance

Technical Assistance To Implement the Transition Plan: Statement of Work

I. BACKGROUND:

The Government Printing Office (GPO), through the Office of Superintendent of Documents (SOD), manages and administers the Federal Depository Library Program (FDLP). Under this program, the SOD has traditionally distributed Federal Government publications to approximately 1400 congressionally designated public, academic, law, and Federal libraries throughout the United States and its territories to be maintained for use by the general public. Documents in paper, microfiche, diskette, and CD-ROM, as well as access to electronic on-line information, are provided at no charge to the receiving library.

GPO has developed a plan entitled The Electronic Federal Depository Library Program: Transition Plan, FY 1996 - FY 1998. The plan is intended to achieve the goal of changing the FDLP to a predominantly electronic program by the end of Fiscal Year (FY) 1998. To effectively accomplish this rapid transition, Technical Implementation Assistance (TIA) is required to determine the most cost effective and feasible alternatives for providing access to electronic Federal Government information to the American public through the FDLP. The information to be addressed and access to this information will be in accordance with Title 44 of the United States Code, as amended by the Government Printing Office Electronic Information Access Enhancement Act of 1993 (P.L. 103-40).

The transition will change the program from a print environment to an electronic environment. This will result in new roles and responsibilities for the program that were previously nonexistent. Federal information which has historically been provided to depository libraries in paper and microfiche formats will be available instead via remote electronic access or will be disseminated in a physical format for local access at a depository library. Electronic information under the custody of the SOD will be maintained for access as long as usage warrants. SOD will coordinate with the National Archives and Records Administration (NARA) to offer electronic information which no longer warrants maintaining at SOD sites for the FDLP to NARA, although transfer to NARA for permanent preservation remains the legal responsibility of the originating agency. Under this plan, the responsibility for ensuring long-term access shifts from the libraries to the FDLP.

II. TASKS:

Based on the "Transition Plan" developed by the SOD, the contractor, a Federally Funded Research and Development Center (FFRDC), will conduct surveys and analysis and provide deliverables that will assist in implementation of this plan.

The Office of the SOD will manage this project throughout the TIA period. SOD will facilitate access for data gathering and furnish the contractor with government materials needed.

The following actions will be taken by the contractor:

A. Conduct a requirements analysis that includes the key participants in the FDLP:

1. A survey of **Federal publishers** in all three branches of Government to determine their current and expected long-term electronic publishing plans and ways in which the FDLP can best support them.
2. A survey of **depository libraries** to determine:
 - a. The electronic technologies best suited to meet user needs based upon expected services made available under the authority of the SOD.
 - b. Technology requirements in libraries to meet local user needs. This will include an assessment of the technological skills of staff and a baseline determination of equipment already available in depository libraries.
3. Consult with **library associations** and others to solicit their input on **user needs** and gain their views as they relate to this TIA. (Appropriate associations and contact persons are listed in Appendix).

B. Conduct an analysis that will identify alternatives for achieving an electronically based FDLP. This analysis will include the following:

1. A survey of Federal agencies to identify current and expected electronic formats that will be used in creating and maintaining electronic source data files necessary for publishing electronic information dissemination products.
2. A survey of information products in the FDLP and the available technologies for providing public access electronically. This survey should address, at a minimum, technologies available for access to information located at Federal agency sites, access to information located at sites operated under the authority of SOD, as well as locally based access at depository libraries. This survey must consider technology relating to:
 - a. Hardware
 - (1) Data storage
 - (2) User work stations, including the capability to download and print information. Determine appropriate ratio for number of work stations per number of users on an average daily basis.
 - b. Software
 - (1) Client tools
 - (2) Server tools
 - c. Communications
 - (1) Wide Area Networks
 - (2) Local Area Networks
 - (3) Other technologies

3. Consideration of findings from the requirements analysis relative to the various roles, capabilities, requirements, and interests of the key participants in the FDLP.
4. A cost-benefit analysis and life-cycle costs of each alternative.

III. DELIVERABLES

A comprehensive report in support of the "Transition Plan" that provides:

- A. A requirements analysis that describes and evaluates the results of the surveys and consultation conducted under paragraph IIA.
- B. A technical alternatives analysis that describes and evaluates reasonable alternatives for achieving a successful transition to an electronically based FDLP under paragraph IIB. The evaluation of each alternative shall include a cost-benefit analysis.
- C. A technical report on current and expected electronic formats to be used by Federal agencies in publishing electronic information dissemination products. This report shall also recommend the appropriate platforms necessary for making this information available for long-term access.
- D. Recommended solutions based on a cost benefit analysis of the various alternatives. For each recommended solution, provide an action plan that outlines steps, with associated costs, to be followed in implementing that solution for key participants as appropriate.
- E. A recommendation of the most appropriate and cost-effective electronic formats for delivering and accessing the various types of information products in the FDLP, based on content, characteristics, and user needs.

IV. SCHEDULE:

- A. The contractor will provide deliverables as defined in paragraph III within four months from the date of contractor award.
- B. Progress Reports will be scheduled as follows:
 1. Regular verbal progress reports will be made at least weekly to SOD throughout the contract period.
 2. Bi-weekly written progress reports will be made to SOD throughout the contract period.

V. TECHNICAL COGNIZANCE:

Technical cognizance for this task is assigned to Mr. J.D. Young, Director, Library Programs Service, U.S. Government Printing Office, North Capitol & H Streets NW, Washington, DC 20401, telephone (202) 512-1114.

The primary contact for the conduct of this study will be:

Ric Davis
Library Programs Service
Electronic Transition Staff
U.S. Government Printing Office
North Capitol & H Streets NW
Washington, D.C. 20401
Telephone (202) 512-1698



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